

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No.	10392/460043
First Inventor	Steven M.H. WALLMAN
Title	Method and Apparatus for Enabling Individual or Smaller Investors or Others to Create and Manage a Portfolio of Securities or Other Assets or Liabilities on a Cost Effective Basis
Express Mail Label No.	

<b>APPLICATION ELEMENTS</b> <small>See MPEP chapter 600 concerning utility patent application contents.</small>		<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i></p> <p>2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <span style="border: 1px solid black; padding: 2px;">78</span>]  <i>(preferred arrangement set forth below)</i> - Descriptive title of the Invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R &amp; D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (<i>if filed</i>) - Detailed Description - Claim(s) - Abstract of the Disclosure</p> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C.113) [Total Sheets <span style="border: 1px solid black; padding: 2px;">16</span>] ]</p> <p>5. Oath or Declaration [Total Pages <span style="border: 1px solid black; padding: 2px;">2</span>] ] a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <i>(for a continuation/divisional with Box 18 completed)</i> i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>		<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (<i>if applicable, all necessary</i>) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies</p>	
<b>ACCOMPANYING APPLICATIONS PARTS</b>			
<p>9. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>10. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of Attorney (<i>when there is an assignee</i>)</p> <p>11. <input type="checkbox"/> English Translation Document (<i>if applicable</i>)</p> <p>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i></p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (<i>if foreign priority is claimed</i>)</p> <p>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</p> <p>17. <input checked="" type="checkbox"/> Other: <u>Power of Attorney or Authorization of Agent</u></p>			

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-part (CIP)    of prior application No: 09 / 139,020

Prior application information: Examiner Alain L. Bashore    Group / Art Unit: 3624

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label <i>(Insert Customer No. or Attach bar code label here)</i>		or <input type="checkbox"/> Correspondence address below				
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Signature			Date
			July 28, 2003

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07/28/03

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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 750)

Complete if Known	
Application Number	Div. of 09/139,020
Filing Date	July 28, 2003
First Named Inventor	Steven M.H. WALLMAN
Examiner Name	Alain L. Bashore
Group / Art Unit	3624
Attorney Docket No.	10392/460043

METHOD OF PAYMENT (check all that apply)				FEE CALCULATION (continued)			
<input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money <input type="checkbox"/> Other <input type="checkbox"/> None <input checked="" type="checkbox"/> Deposit Account				<b>3. ADDITIONAL FEES</b> <b>Large Entity      Small Entity</b>			
Deposit Account Number: 11-0600  Deposit Account Name: Kenyon & Kenyon				Fee Code      Fee (\$)      Fee Code      Fee (\$)	Fee Description		Fee Paid
The Commissioner is authorized to: (check all that apply) <input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.				1051      130      2051      65	Surcharge - late filing fee or oath		
				1052      50      2052      25	Surcharge - late provisional filing fee or cover sheet.		
				1053      130      1053      130	Non-English specification		
				1812      2,520      1812      2,520	For filing a request for reexamination		
				1804      920*      1804      920*	Requesting publication of SIR prior to Examiner action		
				1805      1,840*      1805      1,840*	Requesting publication of SIR after Examiner action		
				1251      110      2251      55	Extension for reply within first month		
				1252      410      2252      205	Extension for reply within second month		
				1253      930      2253      465	Extension for reply within third month		
				1254      1,450      2254      725	Extension for reply within fourth month		
				1255      1,970      2255      985	Extension for reply within fifth month		
				1401      320      2401      160	Notice of Appeal		
				1402      320      2402      160	Filing a brief in support of an appeal		
				1403      280      2403      140	Request for oral hearing		
				1451      1,510      1451      1,510	Petition to institute a public use proceeding		
				1452      110      2452      55	Petition to revive – unavoidable		
				1453      1,300      2453      650	Petition to revive – unintentional		
				1501      1,300      2501      650	Utility issue fee (or reissue)		
				1502      470      2502      235	Design issue fee		
				1503      630      2503      315	Plant issue fee		
				1460      130      1460      130	Petitions to the Commissioner		
				1807      50      1807      50	Processing fee under 37 CFR 1.17 (q)		
				1806      180      1806      180	Submission of Information Disclosure Stmt		
				8021      40      8021      40	Recording each patent assignment per property (times number of properties)		
				1809      750      2809      375	Filing a submission after final rejection (37 CFR § 1.129(a))		
				1810      750      2810      375	For each additional invention to be examined (37 CFR § 1.129(b))		
				1801      750      2801      375	Request for Continued Examination (RCE)		
				1802      900      1802      900	Request for expedited examination of a design application		
				Other fee (specify)			
				*Reduced by Basic Filing Fee Paid			SUBTOTAL (3) (\$ 0)

\*\*or number previously paid, if greater; For Reissues, see above

SUBMITTED BY		Complete (if applicable)			
Name (Print/Type)	Bradley J. Meier	Registration No. Attorney/Agent)	44,236	Telephone	202/220-4200
Signature				Date	July 28, 2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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